

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

4/19/11

Applicant(s) : Traub, et al.
Patent No. : 6,058,377 Serial No. 09/020,733
Issued: : May 2, 2000 Filed: Feb. 9, 1998
For : Portfolio Structuring Using Low Discrepancy Deterministic Sequences

PETITION UNDER 37 C.F.R. § 1.28(c)

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Patentee hereby petitions for the acceptance of a deficiency payment pursuant to 37 C.F.R. § 1.28(c) in the amount of \$3865.00.

Applicants have discovered that the above identified patent application was filed with an erroneous claim of small entity status and that they have erroneously paid, without deceptive intent, the following fees at the applicable small entity rates:

Type of Fee Erroneously Paid as small entity	Small Entity Fee Actually Paid	Date of Payment	Current Fee (large entity)	Deficiency Amount Owed
Filing Fee	\$395.00	2/9/98	\$1090.00	\$695.00
Missing Parts	\$65.00	6/12/98	\$130.00	\$65.00
Extension of Time	\$55.00	6/12/98	\$130.00	\$75.00
Issue Fee	\$605.00	8/25/99	\$1810.00	\$1205.00
Year 4 Maintenance Fee	\$455.00	4/5/04	\$980.00	\$525.00
Year 8 Maintenance Fee	\$1180.00	4/25/08	\$2480.00	\$1300.00
Total Deficiency Owed				\$3865.00

It is believed that the deficiencies in payment were inadvertent, based upon an unintentional failure to change entity status for Patentee. Accordingly, Patentee wishes to pay

the deficiencies, and requests that the amount of \$1825.00 be charged to Deposit Account No. 02-4377 for the deficiency payment as required by 37 C.F.R. § 1.28(c)(2).

Additionally, Patentee has enclosed a request for change of entity status pursuant to C.F.R. § 1.27(g)(2).

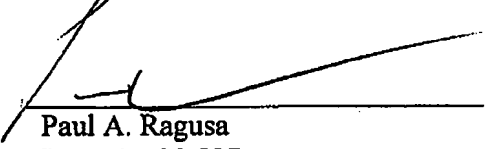
Patentee believes that no further fee is due in connection with this submission. If any additional fee is due, or if any overpayment has been made, the Commissioner is authorized to charge any such fee or credit any overpayment, to our Deposit Account No. 02-4377.

Respectfully submitted,

BAKER BOTTS L.L.P.

April 19, 2011

Date


Paul A. Ragusa
Reg. No. 38,587

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CHANGE OF ENTITY STATUS
PURSUANT TO C.F.R. § 1.27(g)(2)

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

This submission is to change the entity status of the above-noted application.

Please change the status of the application from small entity to large entity.


Applicants believe no fee is due in connection with this submission. If any additional fee is due, or if any overpayment has been made, the Commissioner is authorized to charge any such fee or credit any overpayment, to our Deposit Account No. 02-4377.

Respectfully submitted,

BAKER BOTTS L.L.P.

April 19, 2011

Date


Paul A. Ragusa, Esq.
Patent Office Reg. No. 38,587

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